



**Michael Watson**  
SECRETARY OF STATE

FOR OFFICE USE ONLY:

File # Assigned: \_\_\_\_\_

## INVEST MISSISSIPPI CROWDFUNDING INTERMEDIARY REGISTRATION FORM

**Please check one:**

☐ Initial Registration    ☐ Renewal Registration (*Due December 31*) for File # \_\_\_\_\_ (*Renewal only*)

**Please check one:**

- ☐ REGISTERED BROKER-DEALER (*No Filing Fee*)  
☐ BANK (*No Filing Fee*)  
☐ INTERMEDIARY FUNDING PORTAL/Internet Website Operator (\$200 Filing Fee)

**Please Print:**

Applicant Name \_\_\_\_\_ Form of Organization; State of Organization \_\_\_\_\_

Applicant Street Address \_\_\_\_\_ Applicant Mailing Address \_\_\_\_\_

Website Address / URL \_\_\_\_\_ Applicant Telephone Number \_\_\_\_\_

Name of Contact Person \_\_\_\_\_ Title of Contact Person \_\_\_\_\_

Email Address of Contact Person \_\_\_\_\_ Telephone Number of Contact Person \_\_\_\_\_

Applicant CRD Number (for Registered Broker Dealers) \_\_\_\_\_

**By signing and submitting this form, the applicant certifies it:**

- (a) is authorized to do business in the State of Mississippi;
- (b) will offer and sell securities using an internet website pursuant to the Invest Mississippi Crowdfunding (IMC) Exemption provided in the Mississippi Administrative Code, Part 14, Rule 7.21 and/or the IMC Simplified Registration provided in the Mississippi Administrative Code, Part 14, Rule 2.04; and,
- (c) is either a Registered Broker-Dealer, or meets the requirements set forth in the Mississippi Administrative Code, Part 14, Rule 7.21 (C)(2) or Rule 2.04 (C)(2).

SUBMITTED BY: \_\_\_\_\_  
Signature \_\_\_\_\_ Date \_\_\_\_\_

PRINT NAME \_\_\_\_\_ PRINT TITLE \_\_\_\_\_

**Send Form and Filing Fee** (*payable to MS Secretary of State*) to: **MS Secretary of State/Securities Division**  
**P.O. Box 136**  
**Jackson, MS 39205**

**NOTE:** *If any change occurs which affects the Intermediary's registration, the Intermediary must notify the Securities Division within thirty (30) days after the change occurs. Within thirty (30) days of the delivery of the notice to the Division, the Intermediary, shall, unless otherwise permitted or directed by the Division, cease and desist from operating as an Intermediary.*